

RECEIVED

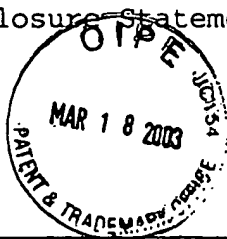
MAR 19 2003

Technology Center 2100

Form PTO-1449 (Modified)	ATTY DOCKET NO. B-4857 940678-2	U.S. SERIAL NO. 10/075,444
LIST OF PATENTS AND PUBLICATIONS STATEMENT	APPLICANT(S) Richard Brown, et al.	
	FILING DATE February 15, 2002	GROUP 2152

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	ISSUE DATE	NAME	CLASS	SUBCLASS	FILING DATE OF 102(e) DATE IF APPROPRIATE
A	2002/0012432 A1	Pub- lished: 1/2002	England et al.	380	231	6/28/01
A	2002/0023212 A1	Pub- lished: 2/2002	Proudlar	713	164	8/1/01
A	5,032,979 A	7/1991	Hecht et al.	364	200	
R	5,038,281	8/1991	Peters	364	200	
D	5,361,359	11/1994	Tajalli et al.	395	700	
D	5,421,006 A	5/1995	Jablon et al.	395	575	
D	5,444,850	8/1995	Chang	395	200.1	
D	5,680,547 A	10/1997	Chang	395	200.01	
D	5,694,590 A	12/1997	Thuraisingham et al.	395	600	
A	5,809,145 A	9/1998	Slik	380	25	
A	5,815,665	9/1998	Teper et al.	395	200.59	
A	5,867,646 A	2/1999	Benson et al.	395	186	
A	5,903,732	5/1999	Reed et al.	395	200.59	
A	5,960,177	9/1999	Tanno	395	200.59	
A	5,987,608 A	11/1999	Roskind	713	200	
A	6,023,765	2/2000	Kuhn	713	200	
A	6,067,559	5/2000	Allard et al.	709	202	
A	6,078,948	6/2000	Podgorny et al.	709	204	
A	6,081,830	6/2000	Schindler	709	204	
A	6,138,239	10/2000	Veil	713	200	
A	6,289,462 B1	9/2001	McNabb et al.	713	201	
A	6,330,670 B1	12/2001	England et al.	713	2	



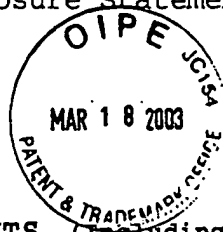
RECEIVED

MAR 19 2003

Technology Center 2100

FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	PUBLICATION DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES/NO
A	application no.: 0020441.2	filed: 8/2000	GB			
A	2 187 855 A	6/1997	CA			
A	0 825 511 A	2/1998	EP			
A	0 849 657 A	6/1998	EP			
A	0 893 751 A1	1/1999	EP			
A	0 992 958 A2	4/00	EP			
A	1 030 237 A1	8/2000	EP			
A	1 049 036 A2	11/2000	EP			
A	1 076 279 A1	2/2001	EP			
A	1 107 137 A2	6/2001	EP			
A	2 317 476 A	3/1998	GB			
A	2 361 153 A	10/2001	GB			
A	95/24696 A	9/1995	WO			
A	98/15082 A	4/1998	WO			
A	98/36517 A	8/1998	WO			
A	00/19324 A1	4/2000	WO			
A	00/48062	8/2000	WO			
A	00/52900 A1	9/2000	WO			
A	00/54125	9/2000	WO			
A	00/54126	9/2000	WO			
A	00/58859	10/2000	WO			
A	00/73880 A1	12/2000	WO			
A	00/73904 A1	12/2000	WO			
A	00/73913 A1	12/2000	WO			
A	01/09781 A2	2/2001	WO			
A	01/27722 A1	4/2001	WO			
A	01/65334 A2	9/2001	WO			
A	01/65366 A1	9/2001	WO			



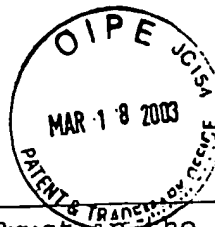
RECEIVED

MAR 19 2003

Technology Center 2100

**OTHER DOCUMENTS** (Including Author, Title, Date, Pertinent Pages, Etc.)

A	Anderson, R., et al., "Tamper Resistance - a Cautionary Note," <i>ISENIX Association, Second USENIX Workshop on Electronic Commerce</i> , pp 1-11 (November 18-21, 1996).	✓
B	Berger, J.L., et al., "Compartmented Mode Workstation: Prototype Highlights," <i>IEEE Transactions on Software Engineering</i> , Vol. 16, No. 6 (June 1990).	✓
C	Chaum, D., "Security without Identification: Transaction Systems to Make Big Brother Obsolete," <i>Communications of the ACM</i> , Vol. 28, No. 10, pp 1030-1044 (October 1985).	
D	Hallyn, S.E., et al., "Domain and Type Enforcement for Linux," Internet: < <a href="http://www.usenix.org/publications/library/proceedings/als2000/full_papers/hallyn/hallyn_html/">http://www.usenix.org/publications/library/proceedings/als2000/full_papers/hallyn/hallyn_html/</a> >. (Retrieved April 24, 2002).	✓
F	Loscocco, P., et al., "Integrating Flexible Support for Security Policies into the Linux Operating System," Internet: < <a href="http://www.nsa.gov/selinux">www.nsa.gov/selinux</a> > (Retrieved April 24, 2002).	
M	Milojicic, D., et al., "Process Migration," Internet: < <a href="http://www.hpl.hp.com/techreports/1999/HPL-1999-21.html">http://www.hpl.hp.com/techreports/1999/HPL-1999-21.html</a> > pp 1-48 (December 5, 1998).	
S	Scheibe, M., "TCPA Security: Trust your Platform!" <i>Quarterly Focus PC Security</i> , pp 44-47. Internet: < <a href="http://www.silicon-trust.com/pdf/secure_PDF/Seite_44-47.pdf">http://www.silicon-trust.com/pdf/secure_PDF/Seite_44-47.pdf</a> >	✓
S	Senie, D., "Using the SOCK_PACKET mechanism in Linux to gain complete control of an Ethernet Interface," Internet: < <a href="http://www.senie.com/dan/technology/sock_packet.html">http://www.senie.com/dan/technology/sock_packet.html</a> >. (Retrieved April 24, 2002).	
W	Wiseman, S., et al., "The Trusted Path between SMITE and the User," <i>Proceedings 1988 IEEE Symposium on Security and Privacy</i> , pp 147-155 (April 18-21, 1988).	
Y	Yee, B., "Using Secure Coprocessors," Doctoral thesis - Carnegie Mellon University, pp 1-94 (May 1994).	✓
B	Boot Integrity Services Application Programming Interface, Version 1.0, Intel Corporation, pp 1-60 (December 28, 1998).	✓



RECEIVED

MAR 19 2003

Technology Center 2100

A	"Building a Foundation of Trust in the PC," Trusted Computing Platform Alliance, pp 1-7 (January 2000). ✓
↑	"HP Virtualvault: Trusted Web-server Platform Product Brief," Internet: < <a href="http://www.hp.com/security/products/virtualvault/papers/brief_4.0/">http://www.hp.com/security/products/virtualvault/papers/brief_4.0/</a> > pp 1-6. ✓
g	"Information technology - Security techniques - Entity authentication; Part 3: Mechanisms using digital signature techniques," ISO/IEC 9798-3, Second Edition, pp 1-6 (1998). ✓
2	"Information technology - Security techniques - Key management - Part 3: Mechanisms using asymmetric techniques," ISO/IEC 11770-3, pp 1-34 (1999). ✓
2	"NIST Announces Technical Correction to Secure Hash Standard," Internet: < <a href="http://www.nist.gov/public_affairs/releases/hashstan.htm">http://www.nist.gov/public_affairs/releases/hashstan.htm</a> > pp 1-2 (October 24, 2002). ✓
6	"Secure Computing with JAVA™: Now and the Future," Internet: < <a href="http://java.sun.com/marketing/collateral/security.html">http://java.sun.com/marketing/collateral/security.html</a> > pp 1-29 (April 2, 2002). ✓
5	"Secure Execution Environments, Internet Safety through Type-Enforcing Firewalls," Internet: < <a href="http://www.ghp.com/research/nailabs/secure-execution/internet-safety.asp">thp://www.ghp.com/research/nailabs/secure-execution/internet-safety.asp</a> > (Retrieved April 24, 2002). ✓
3	Trusted Computing Platform Alliance (TCPA), Main Specification, Version 1.0, pp 1-284 (2000). ✓
3	Trusted Computing Platform Alliance (TCPA), TCPA Design Philosophies and Concepts, Version 1.0, Internet: < <a href="http://www.trustedpc.org">www.trustedpc.org</a> > pp 1-30 (January 2001). ✓

EXAMINER	DATE CONSIDERED
	4/20/04

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

## PATENT APPLICATION

Sheet 1 of 2

FORM PTO-1449

ATTY. DOCKET NO.

30006610-2

APPLICATION NO.

10/075,444

CONFIRMATION NO.

8754

LIST OF PATENTS AND PUBLICATIONS FOR  
APPLICANT'S INFORMATION DISCLOSURE  
STATEMENT

(Use several sheets if necessary)

APPLICANT

Richard BROWN et al.

FILING DATE

02/15/02

GROUP

2152 2143

## REFERENCE DESIGNATION

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS
	1A				
	1B				
	1C				
	1D				
	1E				
	1F				
	1G				
	1H				
	1I				
	1J				
	1K				

RECEIVED

MAY 14 2002

Technology Center 2100

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	TRANSLATION	
							YES	NO
3	1L	WO 00/48063	08/17/2000	Hewlett-Packard Company				
	1M							
	1N							
	1O							
	1P							

## OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

1Q	C.I. DALTON et al., "Applying Military Grade Security to the Internet", Computer Networks and ISDN Systems, 1997, pp. 1799-1808, Vol. 29.
1R	C. DALTON et al., "An Operating System Approach to Securing E-Services", Communication of the ACM, 2001, 4 pgs., Vol. 44, Issue 2, Association for Computing Machinery, Inc.
1S	T.H. CHOO et al., "Trusted Linux: A Secure Platform for Hosting Compartmented Applications", Enterprise Solutions, 2001, pp.1-14, Interworks

EXAMINER

DATE CONSIDERED

4/26/05

PATENT APPLICATION

Sheet 2 of 2

FORM PTO-1449

LIST OF PATENTS AND PUBLICATIONS FOR  
APPLICANT'S INFORMATION DISCLOSURE  
STATEMENT

(Use several sheets if necessary)

ATTY. DOCKET NO.

30006610-2

APPLICATION NO.

10/075,444

CONFIRMATION NO.

APPLICANT

Richard BROWN et al.

FILING DATE

02/15/02

GROUP

21522143

REFERENCE DESIGNATION

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS
	2A				
	2B				
	2C				
	2D				
	2E				
	2F				
	2G				
	2H				
	2I				
	2J				
	2K				

RECEIVED

MAY 14 2002

Technology Center 2100

FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	TRANSLATION	
						YES	NO
	2L						
	2M						
	2N						
	2O						
	2P						

OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

2Q	C.I. DALTON et al., "Design of Secure Unix", Elsevier Information Security Report, 2002, 10 pgs., Hewlett-Packard Laboratories.
2R	
2S	

EXAMINER

DATE CONSIDERED

Information Disclosure Statement  
 USSN 10/075,444  
 December 9, 2003  
 Page 4



**RECEIVED**  
 DEC 17 2003  
 Technology Center 2100

Form PTO-1449 (Modified)	ATTY DOCKET NO. B-4857 940678-2	U.S. SERIAL NO. 10/075,444
LIST OF PATENTS AND PUBLICATIONS STATEMENT	APPLICANT(S) Richard Brown, et al.	
	FILING DATE February 15, 2002	GROUP 2152

**U.S. PATENT DOCUMENTS**

EXAMINER INITIAL	DOCUMENT NUMBER	ISSUE DATE	NAME	CLASS	SUBCLASS	FILING DATE or 102(e) DATE IF APPROPRIATE
A	09/728,827		Proudler et al.			11/28/2000
A	09/920,554		Proudler			8/1/2001
A	10/080,466		Pearson et al.			2/22/2002
A	10/165,840		Dalton			6/7/2002
A	10/175,183		Griffin et al.			6/18/2002
A	10/175,185		Pearson et al.			6/18/2002
A	10/175,395		Pearson et al.			6/18/2002
A	10/175,542		Griffin et al.			6/18/2002
A	10/175,553		Griffin et al.			6/18/2002
X	10/206,812		Proudler			7/26/2002
X	10/240,137		Dalton et al.			9/26/2002
X	10/240,139		Choo et al.			9/26/2002
X	10/303,690		Proudler et al.			11/21/2002

**FOREIGN PATENT DOCUMENTS**

	DOCUMENT NUMBER	PUBLICATION DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES/NO

Information Disclosure Statement  
USSN 10/075,444  
December 9, 2003  
Page 5



RECEIVED

DEC 17 2003

Technology Center 2100

**OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)**

A	Burke, J.P., "Security Suite Gives Sniffer Programs Hay Fever," HP Professional, Vol. 8, No. 9, 3 pages total (September 1994).
---	---

EXAMINER	DATE CONSIDERED
	9/26/05

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.